

01-23-02

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Attorney Docket P2751R1C1

PATENT

EL 889 346 563 US Express Mail Number

January 15, 2002 Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

Kevin P. Baker, Darnestown, MD
Audrey Goddard, San Francisco, CA
William I. Wood, Hillsborough, CA

Title: NOVEL POLYNUCLEOTIDES AND METHODS OF USE THEREOF

1. Type of Application

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. __, filed __, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a ☒ continuation application claiming priority to PCT International Application Serial number PCT/US00/20006, filed July 21, 2000 and US Provisional Application Serial Number 60/145,701, filed July 26, 1999, the entire disclosures of which are hereby incorporated by reference.

2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional)

150 pages of specification
3 pages of claims
1 page(s) of abstract
562 sheet(s) of drawings
☒ formal ☐ informal

3. Declaration or Oath

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)

X A declaration of the inventor(s) ☒ is enclosed (**unsigned**) ☐ will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)

 A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

jc796 U.S. PTO
01/15/02

jc828 U.S. PTO
10/052283
01/15/02

(for Cont./Div. where inventor(s) being deleted)

- A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. Assignment

(for new and CIP applications)

- ☒ An Assignment of the invention to GENENTECH, INC. [] is enclosed with attached Recordation Form Cover Sheet [X] will follow.

(for cont./div.)

- The prior application is assigned of record to Genentech, Inc.

5. Amendments (for continuation and divisional applications)

- Cancel in this application original claims __ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

- ☒ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

| CLAIMS FOR FEE CALCULATION | | | | | |
|---------------------------------------|----|--------------|----|------------|-----------------------------|
| Number Filed | | Number Extra | | Rate | Basic Fee 37 CFR 1.16(a) |
| | | | | | \$740.00 |
| Total Claims | 31 | - 20 = | 11 | X \$18.00 | \$198.00 |
| Independent Claims | 8 | - 3 = | 5 | X \$80.00 | \$400.00 |
| — Multiple dependent claim(s), if any | | | | + \$270.00 | \$0.00 |
| Filing Fee Calculation | | | | | \$1,338.00 |

7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$1,338.00. **A duplicate copy of this transmittal is enclosed.**

8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

9. **Additional Papers Enclosed**

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
☐ A new Power of Attorney or authorization of agent.
☒ Other: Post card.

10. **Maintenance of Copendency of Prior Application** (for continuation and divisional applications)

*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

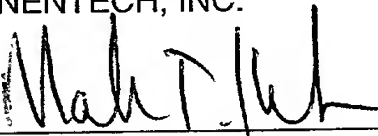
- _____ A petition, fee and/or response has been filed to extend the term in the pending prior application until
_____ A copy of the petition for extension of time in the **prior** application is attached.

11. **Correspondence Address:**

X Address all future communications to:

Attn: Mark T. Kresnak, Ph.D.
Genentech, Inc.
1 DNA Way, MS 49
South San Francisco, CA 94080

Respectfully submitted,
GENENTECH, INC.

By: 
Mark T. Kresnak, Ph.D.
Reg. No. 42,767
Telephone No. (650) 225-4461

Date: January 15, 2002



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PATENT TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|--|---|
| In re Application of Kevin P. Baker, et al. Serial No.: Filed herewith Filed: Filed herewith (January 15, 2002) For: <i>Novel Polynucleotides and Methods of Use Thereof</i> | Group Art Unit: Unknown Examiner: Unknown Express Mail No.: EL 889 346 563 US Mailed: January 15, 2002 |
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CERTIFICATE RE: SEQUENCE LISTING

RESPONSE UNDER 37 CFR § 1.821(f) and (g)

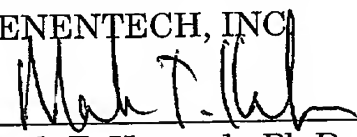
Box: PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

Respectfully submitted,

GENENTECH, INC

By: 

Mark T. Kresnak, Ph.D.

Reg. No. 42,767

Telephone No. (650) 225-4461

Date: January 15, 2002



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